

SEMP COMPLIANCE QUESTIONNAIRE

Element 12: Audit of Safety and Environmental Management Program Elements

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	P	Does the management program require that it be periodically audited? Example Expectations: 1. Written guidance requiring periodic audits. 2. Completed audits. 3. Audit schedule.		RP 75, 2.1	

Question Codes: F -- Facility Related; P -- Program Related; B -- Facility and Program Related.
Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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2	P	<p>Does the scope of each audit include determining that all the elements of RP 75 are in place, the elements incorporate the required components, and there is a method to evaluate effectiveness of the management program?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written guidance delineating the content and scope of an audit. 2. An audit plan showing scope of the audit. 3. Completed audits showing consideration of the areas delineated in question 2. 		RP 75, 12.1.a., 12.1.b., 12.1.c.	
3	P	<p>Does the management plan have a method for ensuring that sufficient quantities and types of facilities are audited to validate the effectiveness of the program?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written audit plan describing the method for selecting the number and types of facilities to be audited. 2. Written rationale for the method chosen. 		RP 75, 12.1	
4	P	<p>Does the management program audit interval exceed four years?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written guidance mandating the audit intervals. 2. Written audit schedule. 		RP 75, 12.1	

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5	B	<p>Was the first audit of the management program conducted within 2 years of its implementation?</p> <p>Example Expectation: 1. Written audit report of the first audit.</p>		RP 75, 12.1	
6	P	<p>Does the management program require that those involved in the audit meet certain criteria to ensure sufficient knowledge of the auditing process?</p> <p>Example Expectation: 1. Written qualifications for team members.</p>		RP 75, 12.1	
7	B	<p>Are the findings of the audit provided to management personnel responsible for design and implementation of the program?</p> <p>Example Expectations: 1. Written plan showing the distribution of the audit findings. 2. Interviews with management personnel confirm that they receive audit findings.</p>		RP 75, 12.1	

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8	P	<p>Does the audit program establish a system to determine and document an appropriate response to the audit findings and to assure satisfactory resolution?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written process for dealing with audit findings. 2. Written action plans from previous audits. 		RP 75, 12.1	
9	P	<p>Does the management program require that audit reports be retained at least until the completion of the next audit?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Written guidelines on audit report retention. 		RP 75, 12.1	